



State of Washington
Department of Corrections
STRATEGIC PLAN

FISCAL YEARS 2003-2009

Introduction

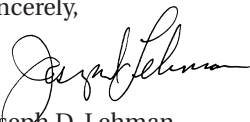
I am pleased to submit the Department of Corrections' (DOC) 2003-2009 Strategic Plan. Utilizing the balanced scorecard methodology, the following goals were identified and set DOC's strategic direction for the next six years.

- *Strategic Focus: Working together for safe communities* - so that communities are safer and healthier places in which to live and raise a family.
- *Internal Perspective: Community Partnerships* - so that community organizations and citizens believe that partnering with DOC has made their community safer and that communities and families are willing and have the capacity to participate in the offender's return to the community.
- *Customer Perspective: Managing Offender Risk* - so that victimization is reduced, facilities are safe and secure, and community organizations believe that partnering with DOC has made their community safer.
- *Financial Perspective: Mitigate Risk and Liability* - so that the liability related to the areas of highest risk is reduced.
- *Internal Perspective: Resource and Performance Management* - so that resources are aligned based on workload drivers, risk, and evidence-based practices; that DOC can provide data demonstrating performance around specific elements of offender management; and that data, research, performance measures, and quality tools are used to guide and evaluate performance and ensure the efficient use of resources.
- *Learning and Growth Perspective: Sustainable Workforce* - so that sufficient qualified staff are available to get the work done; that DOC's workforce is representative of the diverse offender population and the communities in which we are located; that staff feel valued and recognized for their contributions; and that DOC can effectively compete for applicants with other correctional and law enforcement entities.

This plan continues many of the same themes and strategic challenges identified in previous plans and formalized in the Offender Accountability Act. There are four reasons why this plan takes a risk-based approach to managing offenders. First, surveys consistently conclude that citizens want to be safe from violent offenders. The public focuses on violent offenders and so should DOC. Secondly, the resources to deal with offenders are limited. DOC cannot be all things to all offenders, and so must prioritize resources. DOC, therefore, will allocate resources based on risk in order to make the best possible use of available resources. Third, DOC must help mitigate losses and damages related to tort liability and we do that by identifying and focusing on high-risk offenders. Fourth, because research unequivocally supports a risk-based model for supervising offenders.

I believe that the risk-based approach and related initiatives in this plan demonstrate our strong commitment to working together for safe communities. We seek the partnership of the Governor, Legislature, the victim community, Criminal Justice partners, and the many large and small communities throughout the state of Washington to accomplish this important vision.

Sincerely,



Joseph D. Lehman
Secretary

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*Look inside for this
symbol which represents
key points about DOC.*

DOC Vision and Mission

Vision Statement

Working together for safe communities.

Mission Statement

The Department of Corrections in collaboration with its criminal justice partners, victims, citizens, and other stakeholders will enhance community safety by holding offenders accountable through the administration of criminal sanctions and effective correctional programs.

Authority Statement

The Department of Corrections was created in 1981 by the Washington State Legislature. The enabling legislation for the Department is contained in Chapter 72, Revised Code of Washington.

DOC Values

We Value

STAFF AS OUR GREATEST ASSET

We are committed to the personal and professional development of our staff and actively seek staff involvement and a shared sense of commitment and service at all levels.

PROFESSIONALISM AND QUALITY OF SERVICE

As correctional professionals, we demonstrate our commitment through competency, accountability, and pride in work.

A SAFE, HEALTHY WORK ENVIRONMENT

We are committed to providing a safe and healthy environment for staff and offenders.

RESPECT FOR INDIVIDUALS

We recognize the diversity of individuals and their contributions and we strive to treat all people—offenders, staff, and public—with dignity and understanding.

CLEAR, OPEN, HONEST COMMUNICATION

We encourage communication that promotes unity, productivity, and understanding.

PEOPLE'S ABILITY TO GROW AND CHANGE

We acknowledge that people—offenders and staff—have the need and ability to grow and change and we support their endeavors.

COMMUNITY INTERACTION

We encourage positive interaction with the community as we strive to promote public safety, community protection, and public understanding.



This Statement of Values was developed by our employees to clearly articulate the principles that guide our behavior and the vision that will shape our future.

Operating Principles

Every initiative undertaken by DOC is based on continuous activities of Research, Quality, Measurement, and Communication. We believe that these activities are essential for an organization that can successfully adapt to change and is capable of meeting future challenges.

By embracing these principles, we become engaged in our work, strive to reach our potential, and share our vision with our partners. We use these activities to guide and inform us in the pursuit of departmental excellence and professional growth. More importantly, these activities allow us to see our work as part of a whole, and help bring clarity to the interrelationships and processes that depend on each other. We make these activities part of our organizational culture.

RESEARCH BASED

“What does the research say?”

DOC strives to base its programs, activities, and policy decisions on best practices and valid and reliable research findings. We keep current with new approaches and theories and apply what we have learned.

QUALITY FOCUSED

“How can we get better results?”

DOC embraces the principles of total quality management. We encourage employees to solve problems and make recommendations for improving the services we provide.

MEASURE PERFORMANCE

“What are the measures of success?”

DOC strives to develop, collect, and monitor meaningful performance measures to better define success and track our progress. We use performance measures to identify priorities, develop strategies for improvement, and determine targets for success.

COMMUNICATION

“How will we tell others?”

We will tell our story in ways that clearly define who we are, what we do, and the difference that we make. DOC is committed to providing timely information that shares our challenges and successes.

Department of Corrections **OVERVIEW**

FISCAL YEARS 2003-2009

The Criminal Justice Process

Numerous Partners

DOC is often considered the final stop in the administration of justice. The justice system includes over 830 police and sheriff departments, prosecuting attorney offices, defense attorneys, Superior Courts, jails, prisons, and state and local probation offices in over 320 small and large communities throughout the state.

By the time a person enters prison to serve a sentence, he or she has had contact with at least four different agencies and public officials. Many times this number is much higher. This process, while at times unwieldy, creates checks and balances and ensures that the administration of justice is fair and equitable.

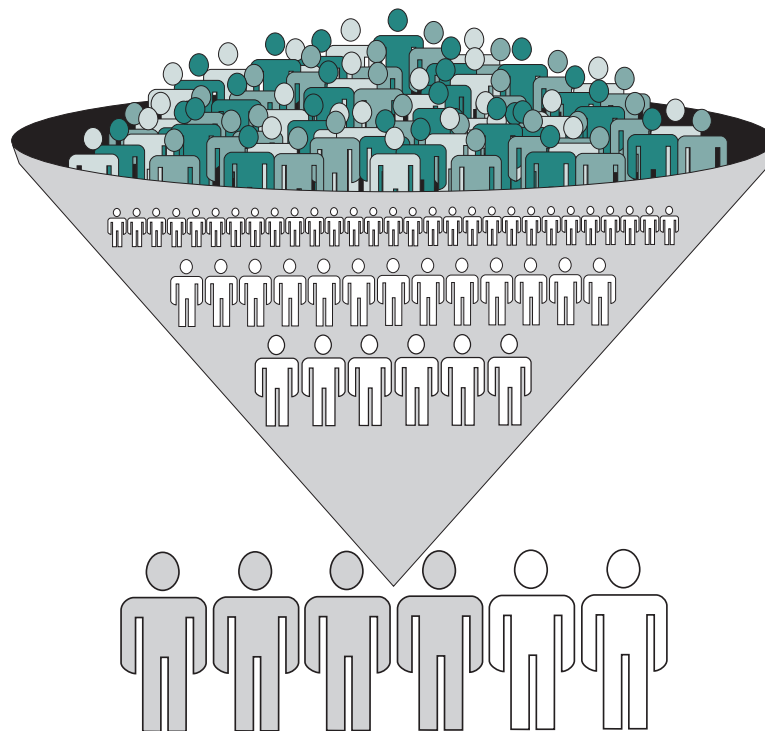
Many Outcomes

In 2000, over 303,000 crimes were reported in Washington's communities. In the same year, over 6,800 offenders were admitted to state prisons. Compared to the number of reported crimes, a relatively small percentage of people go to prison. The outcome of an individual case depends on many factors, such as material evidence and witnesses. Resources, such as time and personnel, frequently limit how successfully a case is resolved.



DOC plays only a small, but important, part in a complex system.

Nationally, in 2000, only 48 percent of violent crimes and 36 percent of property crimes were reported to law enforcement. ▼



In Washington State, on average:

100 Reported crimes "Resulted in"

29 Arrests "Resulted in"

13 Superior Court filings "Resulted in"

6 Felony Convictions "Resulted in"

4 Sentences served in the community and 2 Sentences served in prison.

The above chart is provided to illustrate the level of activity in relation to the various processes within the criminal justice system. The data was provided by the Caseload Forecast Council, Sentencing Guidelines Commission, and Administrative Office for the Courts.

Felony Convictions



Superior Courts are the gatekeeper.

In 2001, almost 60 percent of felony convictions were from the state's five most populous counties. ▼

Many different outcomes occur in the justice system. Sometimes the process result is the successful prosecution of a defendant and sometimes it results only in a record that a crime occurred. In spite of a system that is described as unwieldy, the number of felony sentences continues to increase.

Felons

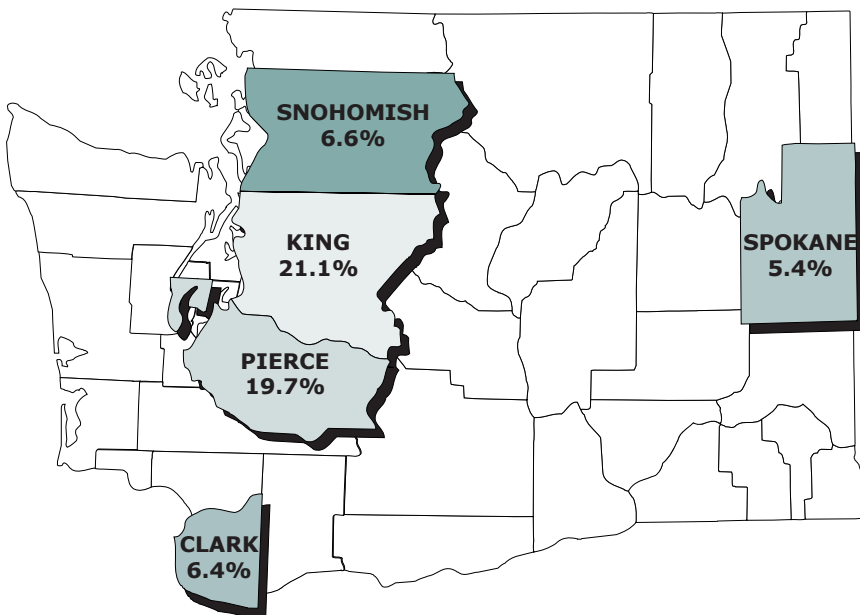
DOC is responsible for all felony offenders in Washington. Felony offenders are those individuals convicted in Superior Court of a crime that may receive a sentence of incarceration greater than one year. Increases in DOC's offender population and budget are directly attributed to increases in the number of sentences.

In Fiscal Year 2001, there were over 25,248 felony sentences handed down by the Superior Courts. Superior Courts in the state's five most populous counties handed down the majority of these sentences. Between 1995 and 2001, the number of felony sentences imposed per year increased by 22 percent, or 4,269. Over the same time period, the conviction rate, the number of sentences per person, increased by 4.7 percent. This indicates that the number of sentences is growing faster than the number of people.

More Non-Violent Offenders

Twenty-two percent of these felony sentences were for violent, or crimes against a person such as assault or a sex crime. Another 34 percent were for drug offenses, and the remaining 44 percent were for property crimes such as burglary or motor vehicle theft.

A person convicted of a felony will receive a sentence that includes one of the following sentencing combinations: community supervision; jail time and community supervision; prison time and community supervision; or just prison time. DOC manages part or all of these sentencing conditions. In addition, DOC supervises offenders convicted in Superior Court whose cases have been pled down from a felony to a misdemeanor.



ALL OTHER COUNTIES 40.8%

Laws with Significant Impact

State sentencing laws determine who goes to prison, or jail, how long they stay, and who is supervised in the community. This influences DOC's capacity, needs, and services.

Re-defining Why a Person Goes to Prison

In 1981, the Sentencing Reform Act (SRA) changed how the Courts sentenced offenders. Prior to SRA, felony offenders were given indeterminate sentences where the amount of time a person would serve in prison was undefined. SRA specifically defines the amount of time to be served based on a standard grid. The grid determines the sentence based on the seriousness of the current offense and the number of prior convictions. SRA ensures that offenders who are found guilty of similar crimes and have similar criminal histories will be given the same amount of incarceration time.

Increasing How Long

In the 1990s, two significant citizen initiatives altered offender sentencing. Initiative 159, also known as the "Hard Time for Armed Crime," and Initiative 593, or "Three Strikes You're Out," reflect public sentiment for longer and more severe sentences for violent offenders. These initiatives significantly increase the amount of time in prison for specific crimes. Increasing sentence lengths will create an older population that results in a greater demand for health care services.

Risk Based

In 1999, the Offender Accountability Act (OAA) was passed. The key element of OAA is that DOC will deploy resources to offenders who pose the greatest risk of re-offending and causing harm in the community. OAA also expands DOC's authority to establish and modify conditions of supervision and to sanction violators. This allows staff discretion in determining the period of supervision. DOC staff will work with local law enforcement agencies, community leaders, community groups, crime victims, and businesses in those areas where community risk is highest.

Fewer Admissions

In 2002, the State Legislature passed 2SHB 2338 that changed sentencing for drug offenses. This law reflects the need to provide more effective means other than prison for addressing drug offenders and substance abuse. The bill will significantly reduce the anticipated number of offenders coming to DOC facilities over the next decade. A reduction in the offender population for drug offenses will decrease demand for correctional facilities in the future. Savings provided through changes in length of sentence will support local drug treatment programs, specifically drug courts.



State sentencing laws are the primary workload drivers for DOC's budget.

About Us

The Department of Corrections is organized into three offices:

Office of the Secretary

- Community Protection
- Government Relations and Constituent Affairs
- Public Information
- Quality
- Workplace Diversity

Office of Correctional Operations

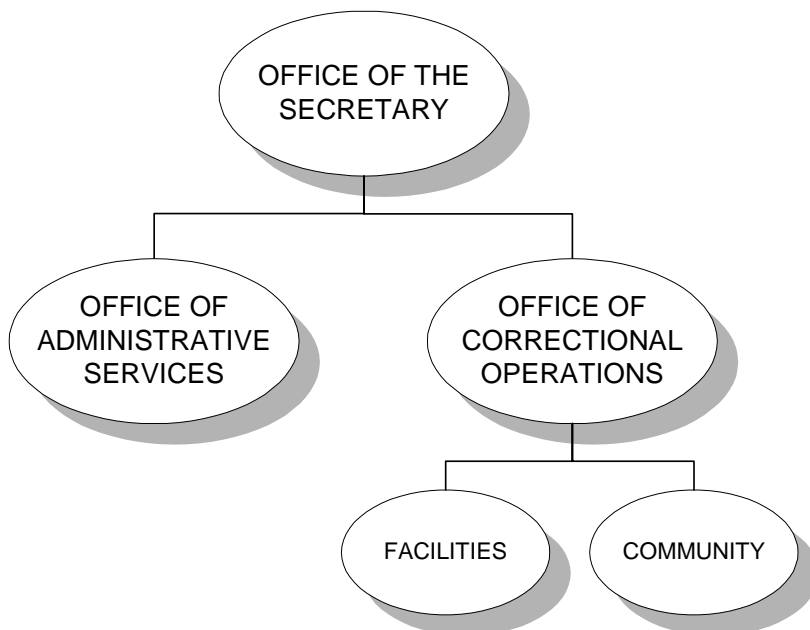
- Community Supervision
- Correctional Industries
- Facilities
- Offender Programs
- Policy

Office of Administrative Services

- Capital Planning and Development
- Financial Services
- Human Resources
- Information Technology
- Management Services
- Planning and Research
- Risk Management and Safety
- Rules, Contracts, and Public Disclosure



The organizational structure supports a focused mission.



Facilities

One of the biggest challenges of DOC is the housing of convicted felons. A primary mission for all facilities is to ensure a safe and secure environment for offenders and staff.

Major Institutions

DOC operates eight major institutions. These facilities house more than 80 percent of the incarcerated population. They are complex due to the large number of offenders, staff, and services provided at each location. Major facilities are the “workhorses” of the prison system because they house offenders of the highest risk levels and offer the greatest range of security.

Minimum Institutions

DOC operates seven minimum institutions. Minimum facilities are smaller than major facilities and house offenders who require lower levels of security. Offenders go to minimum facilities when their behavior and release date earn a security level reduction. The focus of minimum institutions is to promote accountability, develop work ethic, and prepare offenders for release to the community. Crews from minimum facilities frequently work on state-owned forestland and help with tree planting, stream restoration, and forest fire fighting.

Work Release Facilities

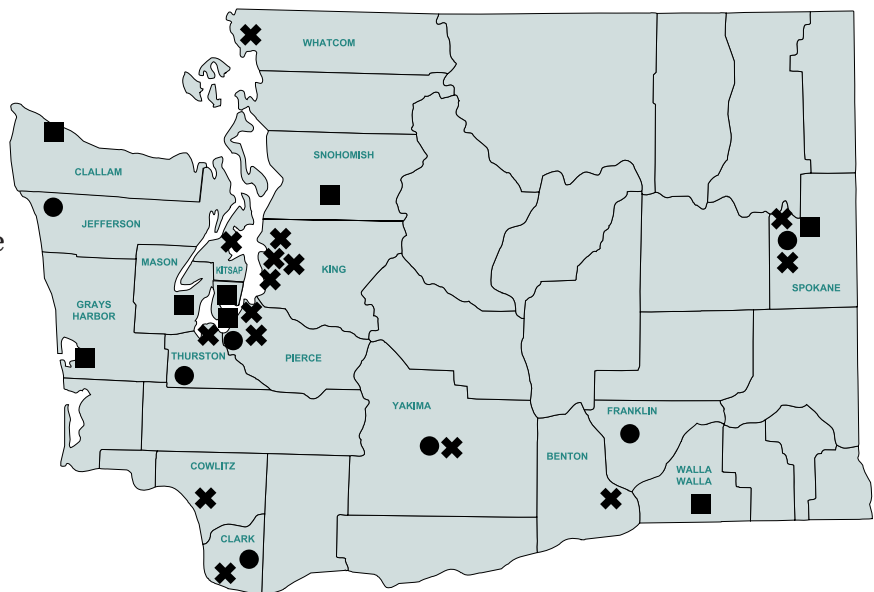
DOC operates 15 work release facilities. Work release facilities allow offenders the opportunity to successfully transition back into the community. The goal is to ensure an offender has an approved residence, combined with employment, or is actively job seeking. Offenders are required to pay the cost of their room and board while residing in a work release facility.



DOC assigns offenders to facilities based on risk.

DOC MAP OF FACILITIES

Key: Major Institutions ■ Minimum Institutions ● Work Release Facilities ×



Incarceration



Programs help to change how offenders think and behave.

Once in a facility, offenders are exposed to a range of services. Facilities offer a safe and humane environment for offenders, staff, and visitors, and provide programs to help reduce risk to the community when offenders are released.

Change in Focus

Many programs are offered to incarcerated offenders. Programs assist offenders with their transition back to the community by providing educational and vocational skills and addressing crime-related behaviors. Offender programs help DOC manage the offender population by creating a system of positive rewards. Programs help the 97 percent of offenders who will eventually be released back into the community.

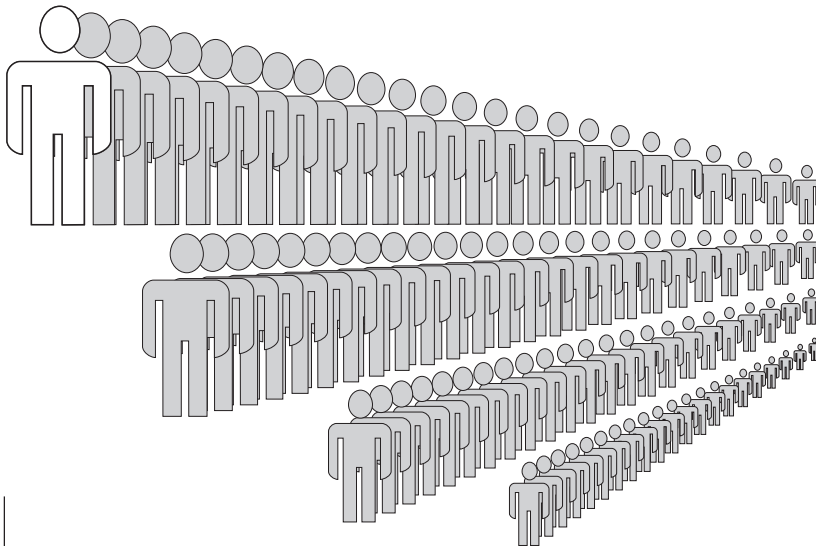
Programs help to change how offenders think and behave. Some of the most notable programs are:

- Education Services
- Correctional Industries
- Religious Programs
- Victim Awareness Education
- Sex Offender Treatment
- Chemical Dependency Treatment

Care

DOC provides medically necessary health care services and emergency care to offenders housed in facilities. Health care is a legally mandated service that must be provided to offenders. Activities include the management and distribution of prescriptions, providing dental and optical care, medical treatment and examinations, and treatment programs for diseases such as Hepatitis C and HIV. DOC also provides mental health services to those offenders assessed as acute or chronic mentally ill and/or behaviorally disturbed. Changes beyond DOC's control, such as sentencing laws, demographics, and funding reductions for other human services, will have a large impact on the type and volume of care DOC must provide.

One out of every 100 males ages 18 to 39 in Washington State is incarcerated in a DOC facility. ▼



Community Supervision

DOC is responsible for supervising convicted felony offenders who reside in the community. Unlike offenders in facilities, these offenders are not under the constant supervision of DOC staff.

Focusing on the Most At-Risk

High-risk offenders receive the greatest attention by DOC. All offenders are screened and classified using the Level of Service Inventory-Revised (LSI-R) risk assessment tool. This tool assesses factors that research has identified as strong contributors to criminality and measures an offender's risk to re-offend. DOC also uses a risk management assessment that takes into consideration:

- The nature of the harm done by the offender;
- Place and circumstances of the offender related to risk;
- The offender's relationship to a victim or potential victim; and
- Information provided to DOC by victims.

Offenders classified as the highest risk typically are:

- Those who have been convicted of a violent crime;
- Level 3 sex offenders;
- Offenders who have been designated as dangerously mentally ill; or
- Offenders who have a history of violent or threatening behavior.

Offenders Work in the Community

DOC also administers community service programs across the state. Community service is often imposed as part of the original sentence or as part of a sanction for offenders violating prohibitions. Offenders sentenced to community service complete a specific number of volunteer work hours for state, county, city, or non-profit organizations. This program helps to hold offenders accountable while performing much needed services in our communities.

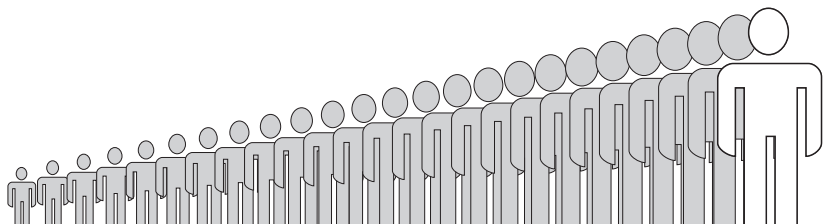
Do the Crime - Pay the Fine

DOC administers the collection of money from offenders. Almost every felony offender sentenced is required to pay at least one court-ordered legal financial obligation (LFO) - the crime victim's compensation fee. Frequently, other fines and fees are ordered including restitution, attorney fees, and court fees.



DOC directs resources to high-risk offenders.

One out of every 25 males ages 18 to 39 in Washington State is on some sort of active community supervision with DOC in the community. ▼



Community Involvement



"We can't do it alone."

We Need Partners

Effective management of offenders under the jurisdiction of DOC includes active community involvement. Community safety requires collaboration and mobilization of resources at the neighborhood level. Research shows that informal social controls are more powerful than the coercive authority of the criminal justice system. In other words, "We can't do it alone."

DOC is creating partnerships with victims, law enforcement, offenders, families, and citizens to help define problems, seek solutions, and develop community standards for managing offenders living in their community.

DOC manages offenders under DOC's jurisdiction with active community involvement.▼

Increased Awareness

There is a growing awareness throughout the criminal justice system that public safety is more than having convicted felons closely monitored, or seeing a reduction in crime or recidivism rates. Public safety, generally speaking, or community safety, from a personalized point of view, is a condition found in places where people are free to live their lives without threat of criminal acts against their person or property.

But making safe communities is not a simple task. Preventing crime from taking place means we have to focus on more than just the offender. Focus is needed on places, relationships, and other risk factors. It is not the responsibility of one agency or one volunteer organization. It is something, however, in which DOC has a vital role to play and to which we are deeply committed. By collaborating with others in high-risk neighborhoods, be they criminal justice agencies or concerned citizens and citizen organizations, DOC can be part of the solution that can lead to a broader sense of community justice. "We can't do it alone."



Cost of Corrections

DOC has the third largest biennial budget, behind the Department of Social and Health Services and Department of Transportation. In addition, DOC is the second largest state General Fund agency and is almost entirely supported by the state's General Fund.

Offender Population is Up

As the state's population has increased, so has the number of convicted felony offenders. Between 1995 and 2001, the population of offenders housed in facilities has increased from 10,997 to 15,042, an increase of 37 percent. During the same time, the population of offenders on some sort of community supervision has increased from 47,748 to 58,687, an increase of 23 percent.

Costs are Down

Although the number of offenders is up, the annual cost per offender, after adjusting for inflation, has declined. The annual cost per offender, adjusted for inflation using 1996 dollars as the base, was at an all time high of \$26,920 in 1988. Since that time, the cost has decreased to about \$22,888 per offender in inflation adjusted dollars over the last three years.

Growth Continues

The incarcerated offender population is forecast to increase by 1,580 offenders, or about 10 percent, in the next six years based on the June 2002 Forecasts produced by the Caseload Forecast Council. The community supervision population also continues to increase by about three percent each year. An increasing offender population will increase the total DOC budget since the cost of corrections is directly tied to the number of offenders incarcerated and supervised.

The current prison population exceeds capacity by almost 1,800 offenders. The use of emergency measures to house offenders places a strain on correctional staff as well as offenders, making for a more stressful and potentially unsafe environment.



Workloads are up but actual costs are down.

ANNUAL COST PER OFFENDER

Fiscal Years 1985 through 2003
(Based on the 1996 Dollar)



▲ It costs almost 15 percent less to house an offender today compared to 1988.

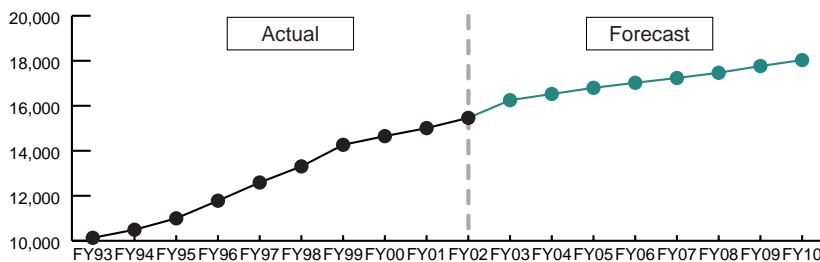
Workload Drivers



The offender population continues to grow.

The offender population increased on average by about five percent each year. ▼

INCARCERATED OFFENDER POPULATION
Fiscal Years 1993 through 2010



DOC's budget and capital facility plans are driven by increases in the offender population. The Caseload Forecast Council forecasts the changes in the offender population. Forecast assumptions are set by the Sentencing Guidelines Commission, and population trends are provided by the Office of Financial Management.

- Between Fiscal Years 2002 and 2009, the incarcerated offender population is forecast to increase by about ten percent, or about 1,580 offenders.

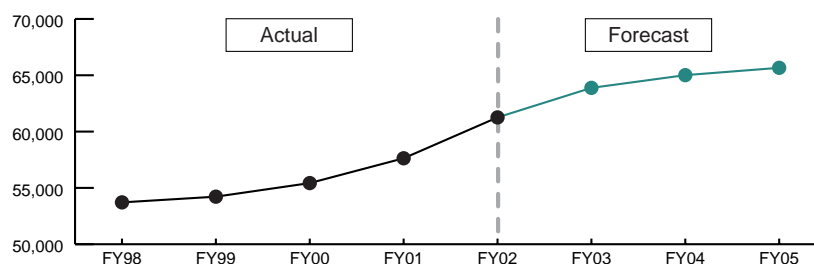
- Between Fiscal Years 2003 and 2005, the offender population on some sort of active community supervision is forecast to increase by about three percent, or almost 1,800 offenders.

Forecasts reflect the effects of changing demographics, crime rates, prison usage, violations of community supervision, and policy changes (new legislation or initiatives). Recent forecast growth is attributed to increased prison admissions, increased use of prisons to house community violators, and increased revocation of persons sentenced under the Drug Offender Sentencing Alternative (DOSA). Increases are offset by shorter lengths of stay and new legislation that shortens sentences for certain drug offenders.

DOC uses these forecasts to develop the operating and capital budgets.

ACTIVE AND MONETARY SUPERVISION POPULATION
Fiscal Years 1998 through 2005

Offenders on active and monetary supervision increased on average by about three percent each year. ►



Department of Corrections
LINKING
INITIATIVES TO
RESULTS

FISCAL YEARS 2003-2009

Balanced Scorecard

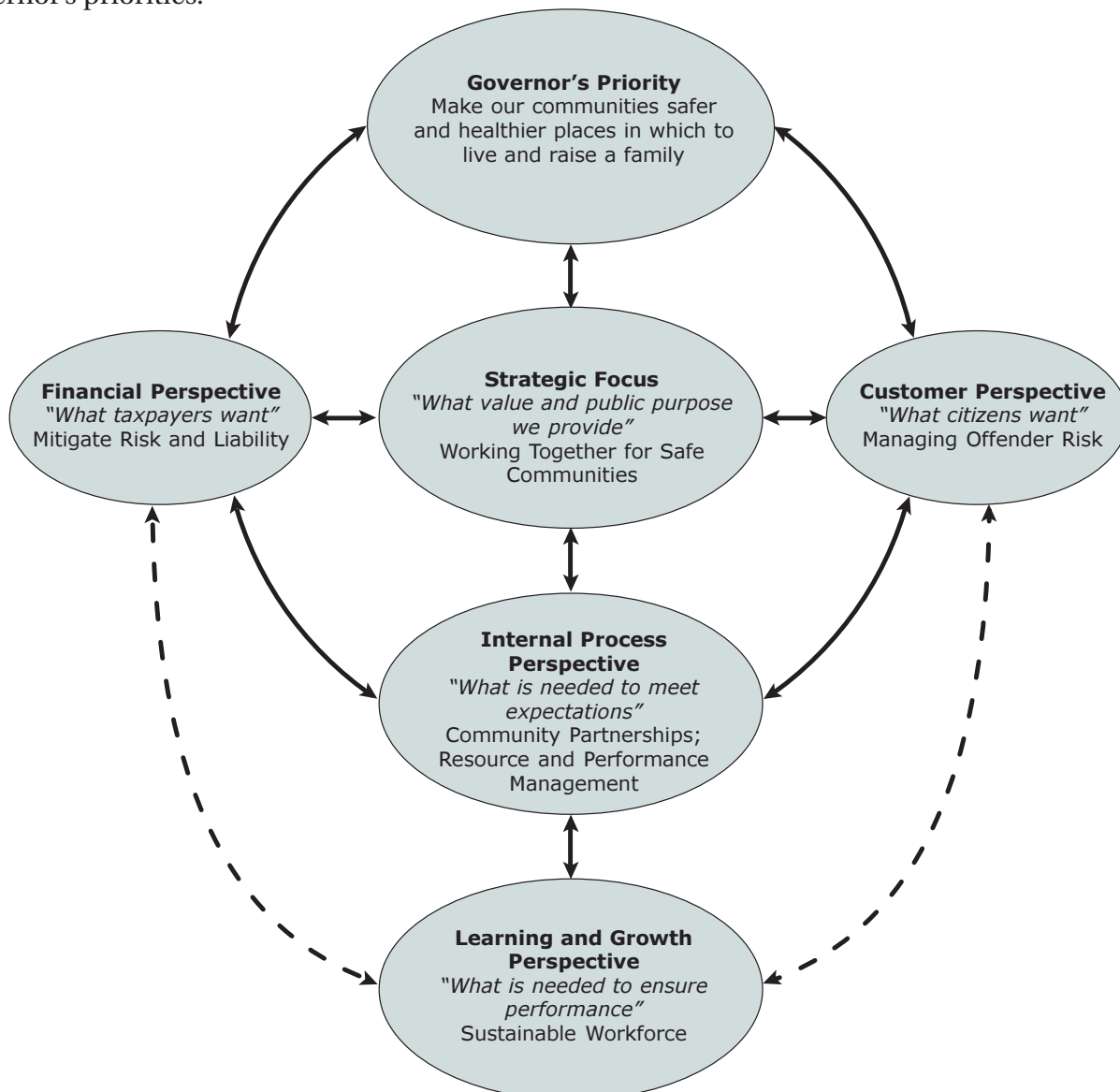
The balanced scorecard is a strategic planning tool that translates taxpayer and customer needs into operational goals and related strategies and initiatives.

The balanced scorecard is a powerful tool that enables us to see how public needs and perspectives are addressed by DOC initiatives outlined in the next section.

The balanced scorecard links the Governor's priorities to DOC's vision and mission statement. Linking these statements serves as a visual reminder that DOC's vision aligns with and supports the Governor's priorities.



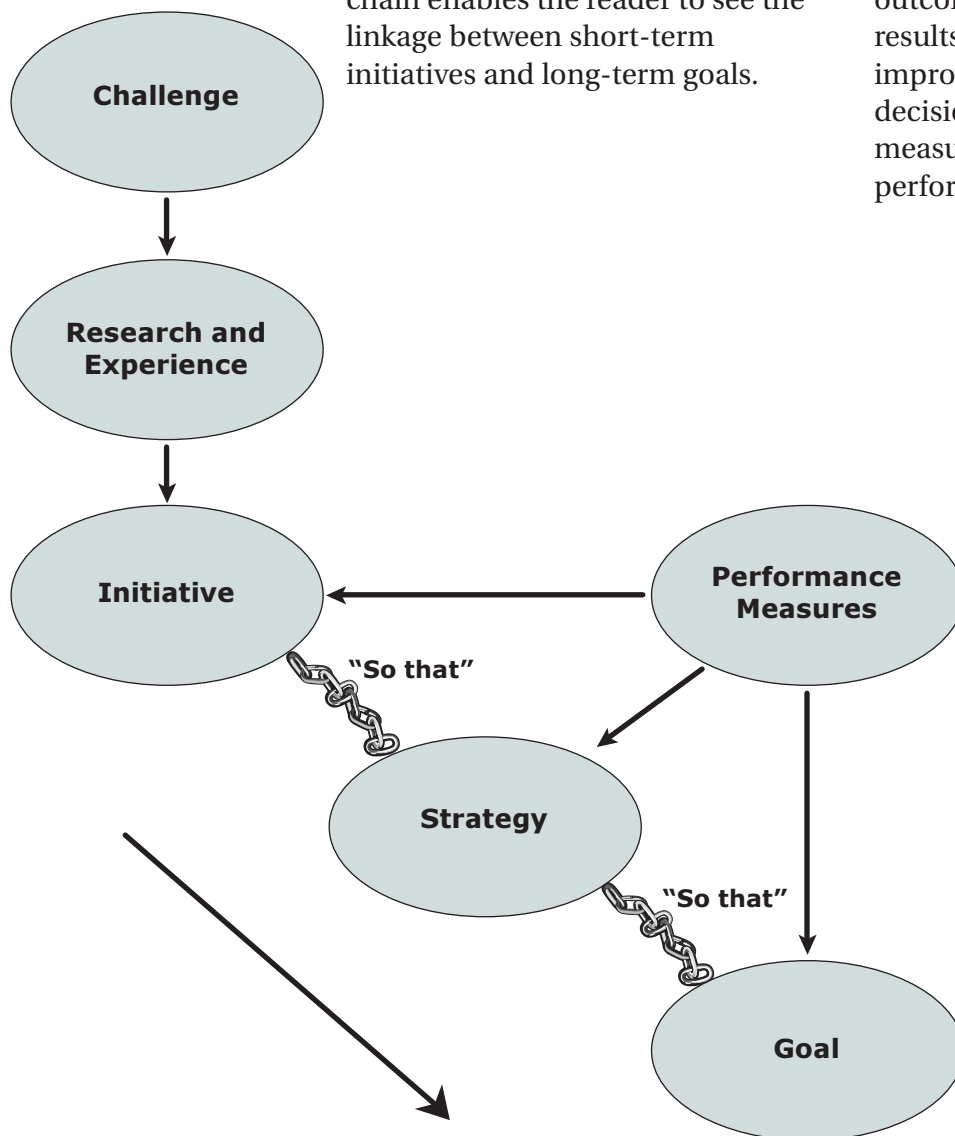
We turn public needs into DOC initiatives.



Strategic Plan Approach

The following pages outline DOC's strategic direction for the next six years and serve as our map for the future. The format, when read in sequence, leads the reader from the central problem, or challenge, to our goal or preferred outcome. Central to this format is the use of the "so that" chain. This chain enables the reader to see the linkage between short-term initiatives and long-term goals.

Because of the difficulties in measuring outcomes, this plan focuses on intermediate measures. Intermediate measures are those that research has shown have a positive correlation with effecting outcomes. Intermediate measures provide a method for monitoring short-term and intermediate outcomes, an opportunity for results-based management, improved resource allocation decisions, and an ongoing system of measuring and evaluating performance.



The "So-That Chain" is a concept developed by Public Knowledge, Inc., and presented in their training seminar, "Instituting Performance and Outcome Measures."

Community Partnerships

The Challenge

DOC is faced with two competing facts. First, most citizens view offender management as the job of the criminal justice system and more specifically the sole responsibility of DOC. Communities too often state that they do not want offenders, particularly high-risk offenders, living in their neighborhoods or communities and reject the need for residential and other correctional programs that result in more offenders being placed in proximity to them.

Second, to effectively mitigate the risk of offenders in the community, a variety of citizens must be involved in the effort. These non-criminal justice partners are critical because they know when offenders are engaged in activities and visiting places that are risk factors related to their criminal behavior. Equally important, non-criminal justice partners such as family, mentors, and employers, provide the social support necessary to foster the offender's stake in law abiding behavior.

DOC must work to overcome these competing facts in ways that help communities and individuals realize that their safety will be enhanced by everyone's involvement. Government agencies, including the state and

local criminal justice system, can not in and of itself, provide community safety. A community's ability to provide for its safety can be enhanced by the use of the criminal justice system agents' presence and authority. But while this is important, preventing crime requires attention to other things than just the offender. Preventing crime requires us to be attentive to enhancing the safety of places and the existence of available targets of crime, including potential victims in the context of places, and relationships. It is a job for the entire community working together.



Working together for safe communities is essential.



▲ In 2001, seven out of ten sentences did not include a prison component.

Community Partnerships



Research tells us that...

Informal social controls exercised in the context of relationships in the family, neighborhood, school, church, community, and workplace are much more powerful than the coercive authority of the criminal justice system. In the Chicago Neighborhood Study researchers found that, “After adjusting for measurement error, individual differences in neighborhood composition, prior violence, and other potentially confounding social processes, the combined measure of informal social control and cohesion and trust remain a robust predictor of lower rates of violence” (Sampson et al.1997).

Furthermore, “...to reduce crime, societies must enhance the legitimate sources of social support and reduce the forces of coercion” (Colvin et al., 2002). The point is effective community supervision is not simply about the individual offender; it is about norms and the opportunity to bond with others, which in turn elicits a moral commitment to behave the way others want us to.

In Spokane...

Volunteers have implemented a program called “Neighborhood Based Supervision” (NBS). This program provides Community Corrections Officers (CCOs) the opportunity to share office space with local police officers along with neighborhood volunteers. Being located in the neighborhood enables CCOs to work cooperatively with police officers and community members while supervising offenders who live in the neighborhoods. Volunteers and local

residents exchange offender-related information with CCOs and assist officers in holding offenders accountable for their behavior while endeavoring to support those who are behaving.

In some instances, the coercive authority takes on a different look...

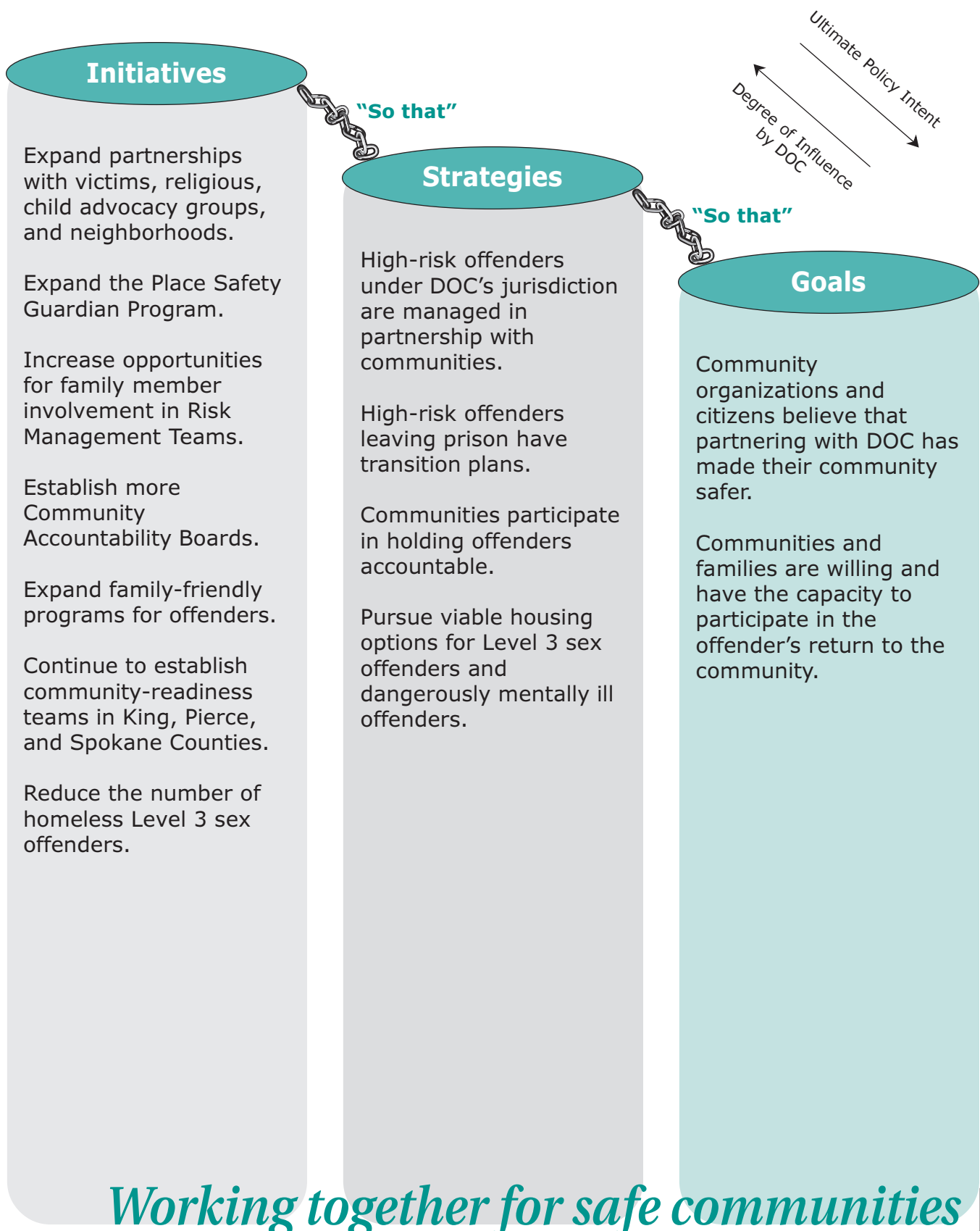
When Community Accountability Boards (CAB) comprised of citizens who care about their communities are formed. CAB comes together with an offender who has violated the conditions of supervision and has agreed to abide by a CAB sanction. They meet, discuss the violation behavior, and develop a plan to address the unwanted behavior. Creative solutions are formulated with the offender in the context of relationships with his/her neighbors.

Our experience shows...

That NBS results in residents and businesses feeling empowered as they experience more control within their neighborhoods. Evidence of enhanced safety and security includes a 35 percent reduction in burglaries in the West Central neighborhood since the beginning of the NBS Program.

CABs make it personal. The offender first has to own the behavior and demonstrate a willingness to work on repairing the harm done. The community has a voice in the proceedings and its concerns are addressed. Hopefully, out of this interaction, the beginnings of a stake in conformity are established in the offender.

Community Partnerships



Community Partnerships

Performance Measures

| | Where we are <i>current data</i> | Where we are going <i>2005 target</i> |
|--|-------------------------------------|--|
| Increase in the average number of Guardians (a.k.a. Collaborators) associated with each high-risk (RM-A and RM-B) offender leaving prison with a transition plan. ¹ | N/A | TBD |
| Reduce the percent of Level 3 sex offenders released from prison without an approved residence. | 62% | 40% |
| Increase the number of Community Accountability Boards which are used to help hold offenders accountable. | 4 | 20 |
| Increase the number of family-friendly activities available to offenders. | 77 | 120 |

¹ Developing Offender Accountability Plans for offenders leaving prison will begin September 2002.

Managing Offender Risk

The Challenge

The public's expectations for DOC include the management of offender risk. DOC is engaged in a process of implementing a set of new business practices that moves us from a reactive offender-specific approach to a pro-active environmental approach. This change, mandated in OAA, represents a cultural and organizational challenge for DOC and its partners.

Focusing on preventing crime to victims and communities, rather than reacting to it after the fact, requires more than just watching offenders. Managing offender risk requires understanding the relationship between the offender and his/her circumstances and analyzing the risk to re-offend. This approach moves DOC from a series of interactions with the offender to systematic collaborations with others, such as family, that can influence his/her behavior, both in the facility and the community. A special challenge to DOC is its work on the "handoff" or improving the continuity and transition as offenders move from one setting to another.

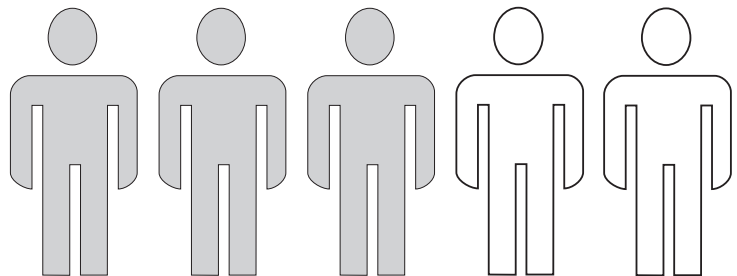
There are, of course, different challenges in facilities and in the community. In DOC facilities, this means continuing to focus on the mission-critical tasks of reducing escapes. In the community, it means that effective risk management requires DOC to put additional efforts into locating high-risk absconders.

Building an organization that has the capacity to collaborate with others and to create teams to share in the work will be a DOC focus for the next six years.



Managing offender risk requires more than just watching.

Two out of five offenders in the community are classified as high risk. ▼



Managing Offender Risk



Research tells us that...

Crime will be committed when potential offenders are confronted with the opportunity afforded by available targets (victims) in situations of reduced guardianship (Smith and Dickey, 1999). Community safety, i.e., crime prevention, will be achieved when citizens and the system are attending to risks of place, time, and relationships in neighborhoods where the offender is living.

Furthermore,... when “we’re faced with a higher-risk offender, we need more intensive and extensive services if we are to hope for a significant reduction in the probability of recidivism. For the higher-risk offender, we need intensive services; for the low-risk offender, minimal or no intervention is sufficient” (Andrews and Bonta, 1998).

To help victims...

Staff developed an initiative to assist them when an offender returns to the community from confinement. This process brings the victim, corrections staff, law enforcement, victim advocates, and the community together to provide support for the victim and to develop a plan to protect them from future harm and harassment. This process is called the “Victim Wrap Around.”

Victims have direct input into the release process including the conditions imposed on the offender. A safety plan for the victim is developed and incorporated into the overall supervision plan for the offender. The offender does not

participate in the Victim Wrap-Around meeting.

To support offenders...

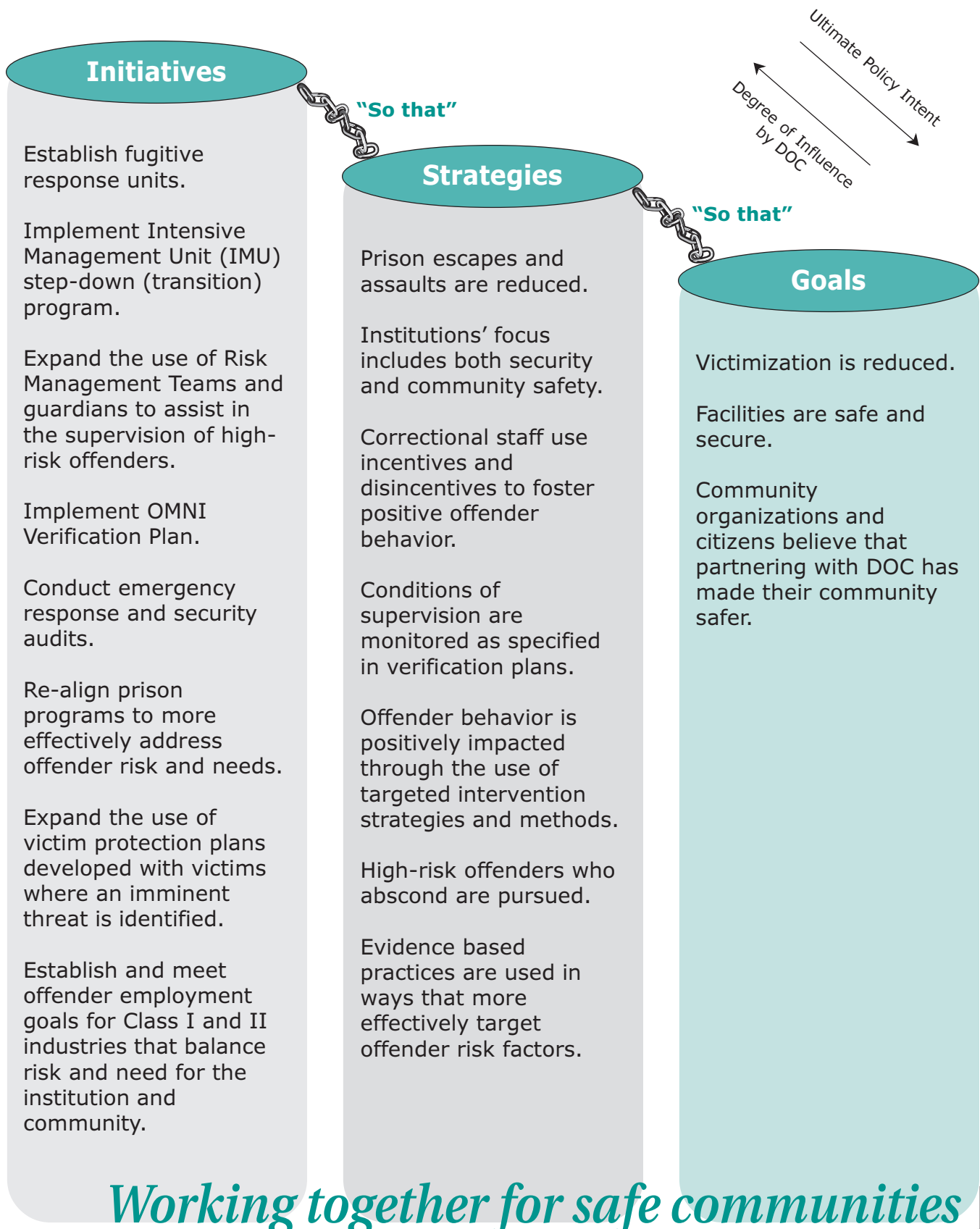
Staff have formed Risk Management Teams to deal directly with high-risk offenders. These teams focus on individual offenders and can be made up of CCOs, treatment providers, local law enforcement, and community and family members. Teams provide intensive and extensive supervision, monitoring, services, treatment, and support of an offender in a collaborative and interdisciplinary fashion.

Our experience shows...

That the Victim Wrap-Around program empowers victims, making them active participants of the team. Victims learn firsthand the degree of supervision the offender will be under upon release. They leave the meeting with a network of “system” folks that are easily accessible. They leave the meeting with the feeling that “the system is listening to my needs” and “that I am not alone when the offender is released.” The bottom line is, if we do not invite victims to participate and keep them at the center of what we do, justice is left undone.

Risk Management Teams provide increased communication and responsiveness in managing risk and providing services. Offenders monitored by system agents and guardians make for a broader coordinated system of treatment, support, and supervision.

Managing Offender Risk



Managing Offender Risk

Performance Measures

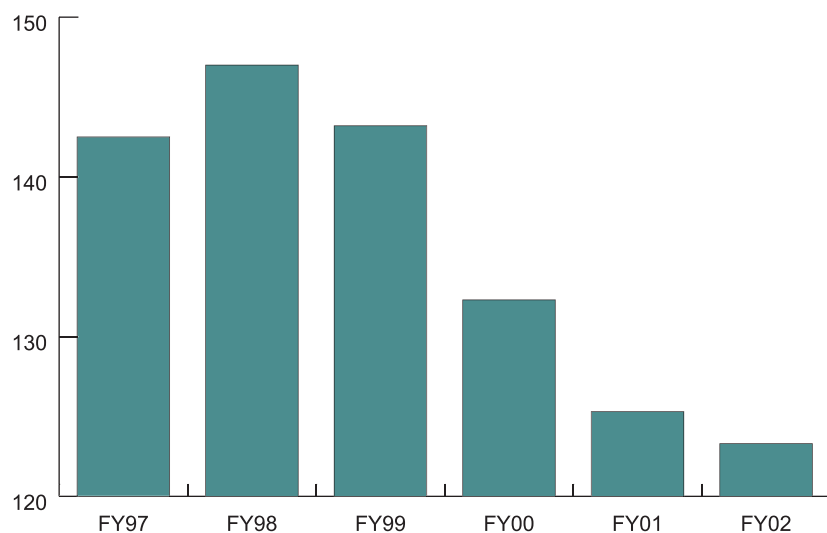
| | Where we are <i>current data</i> | Where we are going <i>2005 target</i> |
|---|-------------------------------------|--|
| Decrease in the rate of violent infractions by risk management and custody level. ¹ | 123.3 | 119.6 |
| Increase in the percent of offenders who complete the IMU step-down program who do not return to an IMU within 12 month. ² | N/A | TBD |
| Increase in the rate of offenders working in Class I and II jobs per 1,000 offenders. | 141 | 145 |
| Increase in the number of victim protection plans (Wrap Arounds) developed with victims who are identified as being at high risk of an imminent threat. | 70 | 280 |

¹ Excludes work release.

² IMU step-down program not yet implemented and is currently in the planning phase.

VIOLENT INFRACTION REPORTS

Fiscal Years 1997 through 2002



The violent infraction rate continues to decrease. ►

Mitigate Risk and Liability

The Challenge

The state of Washington, including DOC, is facing increases in the number of high-risk tort claims and damages related to those claims.

For the first time since its inception, the state's self-insurance liability program has paid more in payments than available resources. In Fiscal Year 2001, DOC paid \$15 million in claim payments, more than several previous years combined. This does not include two verdicts on appeal totaling \$37.5 million.

Tort liability is a function of the expectations placed on DOC. Those expectations are enumerated in statute, in case law defining and refining the legal criteria by which liability can be determined by a jury and the courts, and by DOC policies, resources, and its business practices. While DOC does not have control over what is defined in statute or by the court, DOC does control the definition of policy and the practices staff engage in. It is reasonable to conclude that DOC's capacity to perform is not in alignment with the expectations defined by the courts, media, and the public.

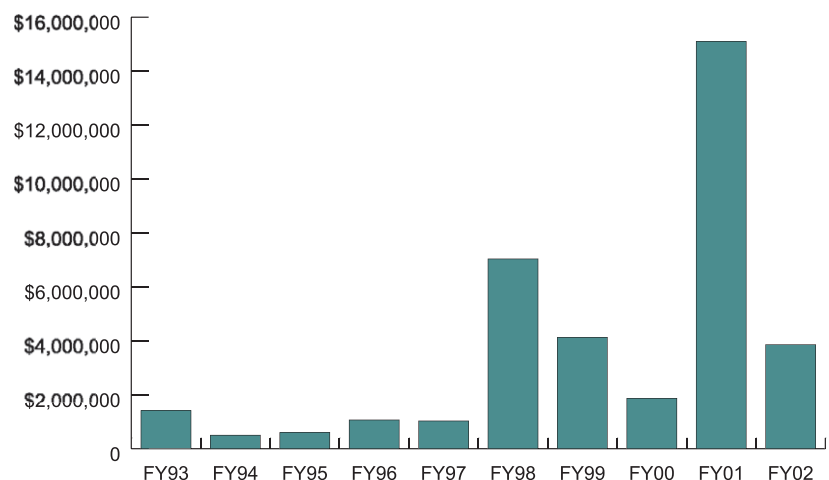
The challenge facing DOC is the need to focus on aligning resources around cases that present the highest risk. This is accomplished by ensuring that the activities required by policy are carried out in a consistent, professional, and timely manner.

An additional challenge for DOC is ensuring that officers are properly and continuously trained. A well-trained workforce may reduce liability costs for the state. Training needs should be addressed in a timely fashion and amendments to laws, policies, and procedures must be appropriately communicated.



Mitigating risk and liability builds success.

DOC TORT PAYMENTS
Fiscal Years 1993 through 2002



▲ Tort payments paid by DOC have increased dramatically in the last five years.

Mitigate Risk and Liability



Research tells us that...

“DOC is particularly vulnerable to tort liability for a number of reasons...DOC must deal with a population of individuals who are, by their very history, violence-prone; they are mostly adjudicated felons” (Talmadge, 2001).

Furthermore, state agencies should appropriately equip service delivery staff, provide focused guidance for program staff and service providers, and give priority to training relevant to risk-based delivery of services (Risk Management Task Force, 2001). Risk-based allocation and management of its limited resources is a requirement given DOC’s liability.

Because, “We have to find ways to protect taxpayer resources by reducing the number of costly lawsuits brought against the state of Washington” (Locke, 2000). System requirements in reducing liability necessitate more explicit mechanisms of organizational accountability including an information system (OMNI) to facilitate new business practices used in supervising offenders to monitor performance and inform policy.

To reduce risk...

DOC has identified three significant approaches. First, careful assessments to determine which offenders are high risk. Second, provide training to staff who provide direct services so they can deliver quality services. Third, continued development of its web-based information system (OMNI).

DOC uses the LSI-R as its primary risk assessment tool to identify high-risk

offenders. The tool develops a numerical rating to describe the risk to re-offend and helps identify the offenders’ characteristics that contribute to the risk. LSI-R is proven valid through a number of studies and according to research, “... we found that the LSI-R appears to be a promising tool to assess the risk to re-offend...” (Washington State Institute for Public Policy, 2002). Staff use the assessment tool along with a set of violence screening criteria to determine the risk of potential harm to the community. This information is used to arrive at the specific risk management level for each offender.

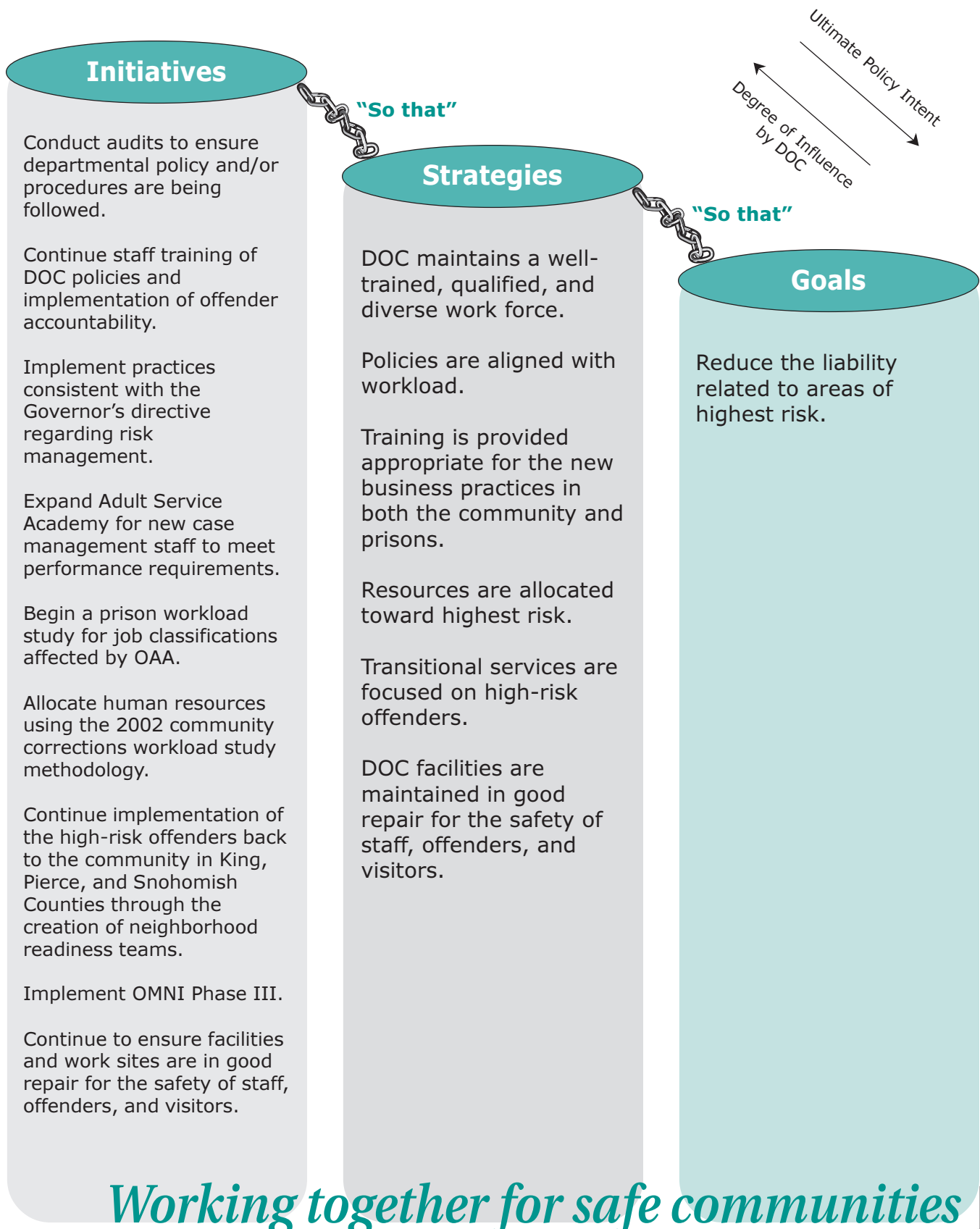
Correctional work is more complicated than ever. In response, DOC provides offender assessment and risk management practices and strategy training for staff.

Our experience shows...

That using the risk assessment tools enables DOC to deploy resources consistent with the degree of risk that offenders pose in the community. This is consistent with the recommendations from the Risk Management Task Force.

DOC now uses field training officers to help new staff transition from classroom to the field and monitor work standards. By intensifying and expanding the training period and using professional and accredited instructors, staff are better prepared to handle the complexity involved in keeping facilities safe. DOC will begin developing a similar capacity for community operations.

Mitigate Risk and Liability



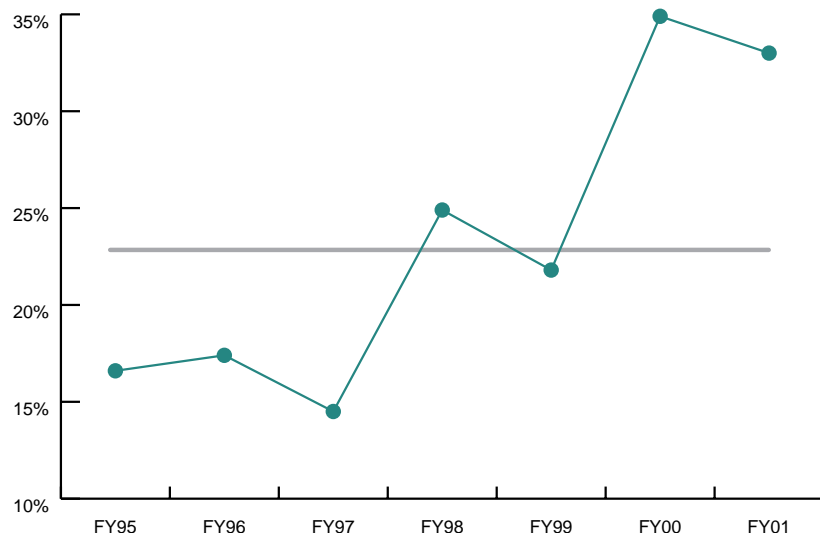
Mitigate Risk and Liability

Performance Measures

| | Where we are <i>current data</i> | Where we are going <i>2005 target</i> |
|--|-------------------------------------|--|
| Decrease in the CCO turnover rate. | 33% | 28% |
| Decrease in the corrections officers turnover rate. | 14.7% | 12% |
| Increase the number of audits conducted. | 20 | 35 |
| Increase percent of new Case Management staff who receive offender accountability (ASA) training within the first 60 days of employment. | 9.2% | 25% |
| Reduce the average length of (handoff) time from date of sentence to intake and start of supervision. | 42 days | 30 days |

COMMUNITY CORRECTIONS OFFICER TURNOVER Fiscal Years 1995 through 2001

The average turnover rate for CCOs over the last seven years has been 23.3 percent. ►



Note: Turnover rate includes in-agency movement as well as movement out of the agency.

Resource and Performance Management

The Challenge

As a public entity, DOC strives to meet public demand for efficient and effective services. In doing so, DOC has implemented business practices that can support meaningful performance objectives.

External pressures have placed increased demands on DOC's resources.

- A growing offender population that is currently 1,789 over operating capacity.
- A disproportionate increase in the cost for utilities, prescription drugs, and medical services compared to other services.
- A demand for more timely, accurate, and reliable information and information systems.

External pressures drive internal demand for information technology. As DOC seeks to do more with less, we frequently look for technology-based solutions. The primary information system used by DOC, to achieve its mission, has operated since 1984. The system provides essential data to about 6,000 users in the criminal justice community. However, current DOC business practices are hampered by the cumbersome data collection and statistical reporting systems. As a result, DOC staff resources are often spent

supporting process and system requirements rather than in supervision activities that contribute to safer communities.

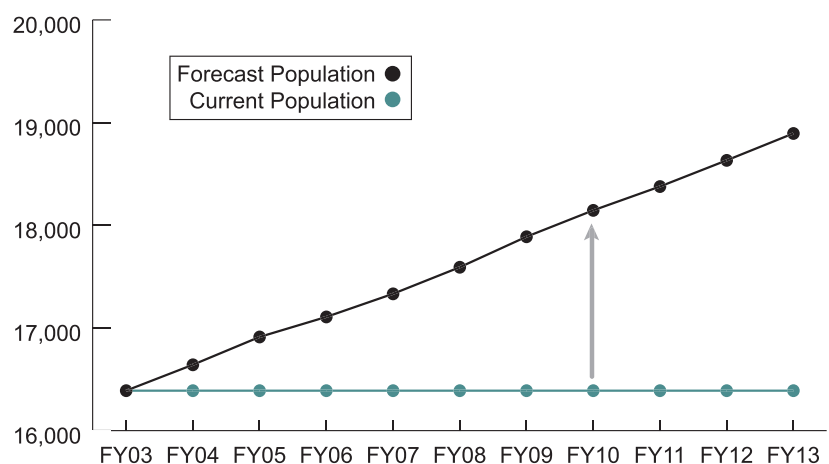
The challenge is to ensure there is a systemic approach to aligning resources with evidence-based practices. This approach must make certain that performance data informs the policy and resource allocation decisions of DOC.



OMNI allows DOC to align resources with data.

FORECAST POPULATION VS. CURRENT POPULATION

Fiscal Years 2003 through 2013



▲ By 2010, the number of offenders will exceed the current population by almost 2,000.

Resource and Performance Management



Research tells us that...

Public safety reliance upon accurate, timely, and secure information exchanges among state and local criminal justice agencies and law enforcement continues to increase. By employing new technologies, accountability will increase and offenders will be less likely to “slip through the cracks” (Justice Information Network Blueprint, 2001).

However, “The Department is years away from being able to fully track compliance with conditions of sentencing and supervision and aggregate that compliance data for management use” (Joint Legislative Audit and Review Committee, 2002).

In addition, “Technology and information systems often provide important tools and information for tracking, monitoring, and delivering appropriate services and staffing. Untimely, disjointed, or missing information can and does create exposure for poor service quality and service delivery risks” (Risk Management Task Force, 2001).

To address information...

DOC has successfully implemented the first phase of the project to update its primary information system. OMNI will replace the existing 20 year old system. The overall objective of the new system is to replace the existing tracking system with a corrections management system that supports the operations of DOC and better reduce liability related to areas of highest risk. The next phases of OMNI will complete

DOC’s ability to fully track compliance with conditions of sentencing and supervision.

To address resources...

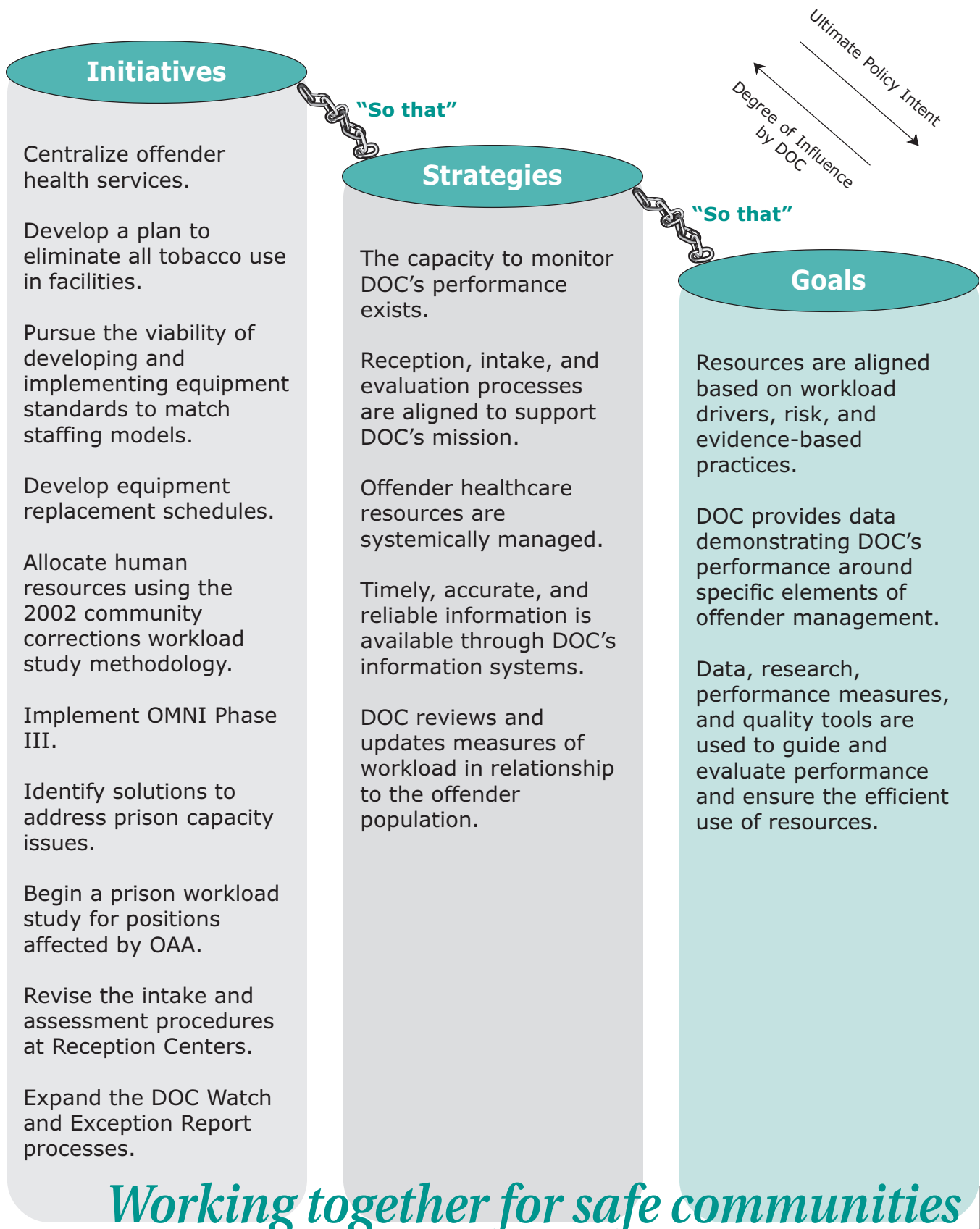
DOC is working to implement a flexible resource allocation model that provides reliable information and methods to measure workload and allocate human resources. The new workload model addresses concerns that the prior methods did not accurately measure all the work performed by CCOs. In addition, the new model addresses a key recommendation made by the Joint Legislative Audit and Review Committee in early 2002.

Our experience shows...

That as a result of completing the first phase of OMNI, DOC has increased its operational efficiency and improved analysis and reporting capabilities. The improved reporting capabilities allow management to better monitor improvement efforts and use processes such as DOC Watch and exception reporting to monitor key offender accountability programs. In addition, as staff are trained on the system, they are better able to monitor offenders and maximize their effectiveness and efficiency.

The workload model successfully uses the best available technology, engineering techniques for analyzing staff work, and quality controls to provide data and information necessary for decision making. The new workload model will serve as the new standard for resource allocations.

Resource and Performance Management



Resource and Performance Management

Performance Measures

| | Where we are <i>current data</i> | Where we are going <i>2005 target</i> |
|---|-------------------------------------|--|
| Increases in the number of organizational performance reviews (DOC Watch). | 29 | 50 |
| Increase the number of completed OMNI system modules. | 4 | 17 |
| Increase in the percent of OMNI verifications of conditions of compliance. ¹ | N/A | TBD |

¹ OMNI verification plans will be implemented in February 2003.

Sustainable Workforce

The Challenge

Like most large and complex organizations, DOC is always seeking to recruit and retain a qualified workforce.

The business of corrections is labor intensive. Prison facilities require that mandatory positions, or posts, be filled at all times in order to provide appropriate levels of security. Staff are the only means for providing appropriate levels of supervision over offenders in the community. Medical and Information Technology positions are required to provide essential services to offenders and staff. State salaries are lower than local jurisdictions for similar positions.

There are numerous factors that make creating a sustainable workforce more challenging today than in previous years. These include:

- Lower salaries for similar positions in some jurisdictions;
- An anticipated increase in DOC staff retirements due to an aging workforce; and
- The isolated location of several facilities limiting access to housing and basic family needs.

In addition, changes in the population are adding pressure. A more diverse offender and state population also increases the need to have a more diverse staff in order to better meet the needs of our communities.

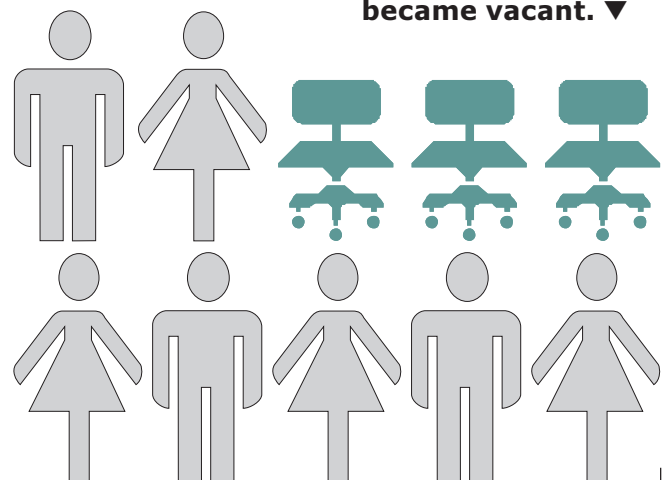
DOC is faced with growing performance expectations for staff. The change in expectations is created by the complexity of laws, demographic changes in our offender population, and the legal liability associated with the failure to control offenders' behavior. Workforce challenges manifest themselves as vacant positions, excess overtime usage, excessively large caseloads, and increased risk of liability. A lack of a qualified workforce results in an increase in safety and security risks, increased training and overtime costs, and a decrease in staff morale.

The challenges facing DOC are first to address its ability to compete in labor markets. Second, to provide set job expectations supported by training that is task specific and competency based.



A healthy workforce is critical for the future.

In 2001, three out of ten CCO positions became vacant. ▼



Sustainable Workforce



Research tells us that...

“Staff turnover in these jobs is very significant so that supervisory continuity is more difficult. It is not clear that DOC can meet the expectations of the Legislature to safely supervise the numbers of people in the community with this level of staffing” (Talmadge, 2001).

Furthermore, the average annual salary of County Probation Officer 2s in the five largest counties in Washington State is about 23 percent higher than those of State DOC CCO2s.

To address officer recruitment...

Several changes have been made to improve the process. This includes:

- Broaden the pool of eligible candidates for consideration by changing the testing process. The old application process included a multiple choice test based on general correctional responsibilities. The new test takes into account prior non-correctional training and experience that applies to the correctional setting.
- Enhance quality of candidates by an improved screening process. By providing standard evaluations, such as psychological testing and a work-style survey before hiring candidates, the less qualified candidates are screened out earlier in the process.
- Reduce time to contact, interview, and hire new officers by streamlining the process. Rather than waiting for a vacancy to occur and then starting the hiring

process, facilities now pre-screen and qualify candidates before vacancies occur. Pre-approved candidates can be offered a position almost immediately after a position becomes vacant.

Training can help...

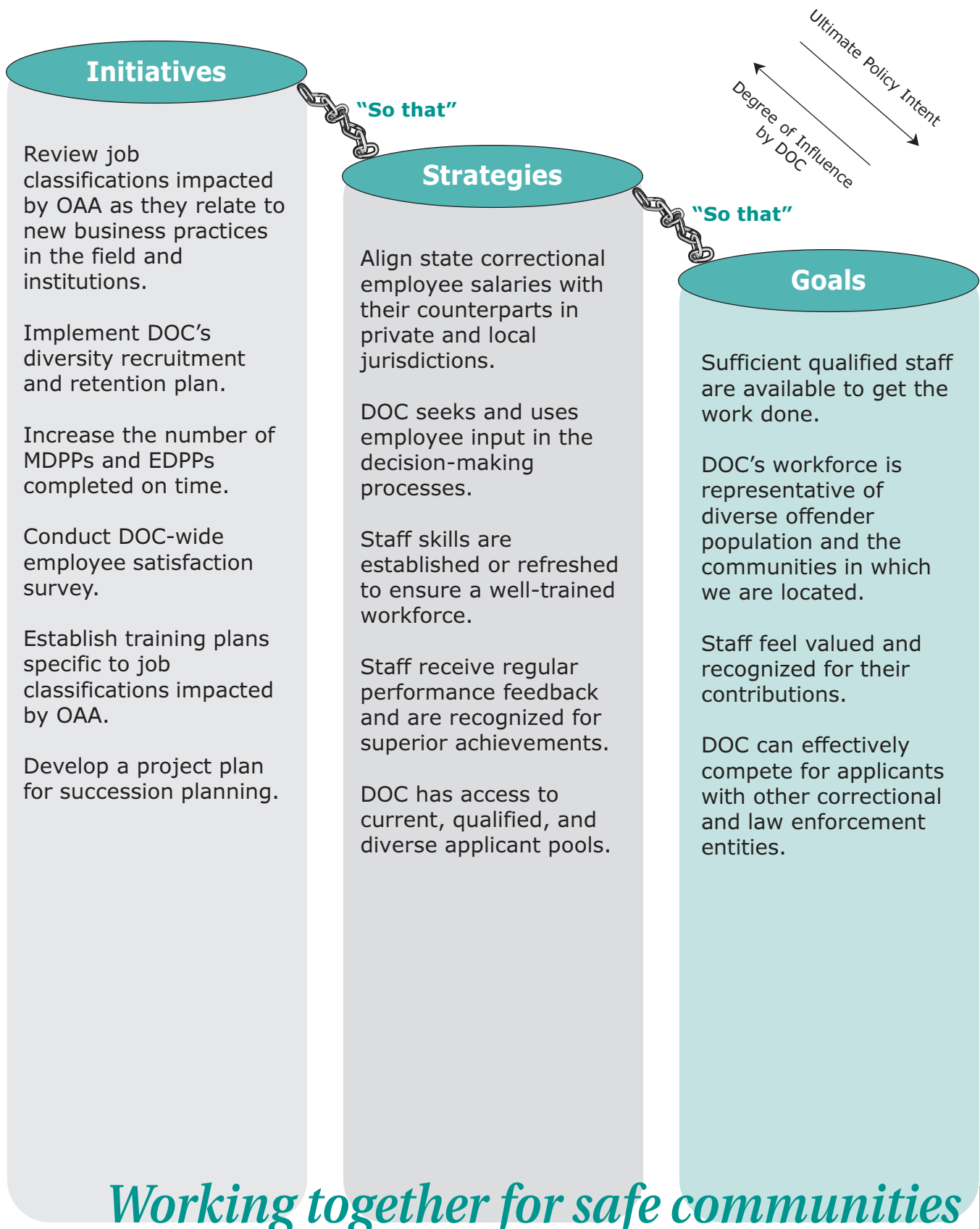
Reduce risk and liability by the positive impact it has on retention. Training provides an opportunity for employees to become more comfortable and invested in their jobs. This can improve job performance, create greater job satisfaction, and lower rates of turnover. DOC has also placed new emphasis on training for managers and implemented a new mentoring program that matches senior managers with diverse staff. In addition, DOC is stepping up recruitment efforts for new and diverse candidates.

Our experience shows...

That lowering turnover and quickly filling vacancies can result in:

- Improved staff morale;
- Reduced need for overtime;
- Lower use of sick leave;
- Less erratic team participation;
- Increased levels of communication;
- Decreased safety and security issues;
- Decreased grievance activity;
- Decreased training costs;
- Decreased recruitment costs; and
- Decreased risk and liability.

Sustainable Workforce



Sustainable Workforce

Performance Measures

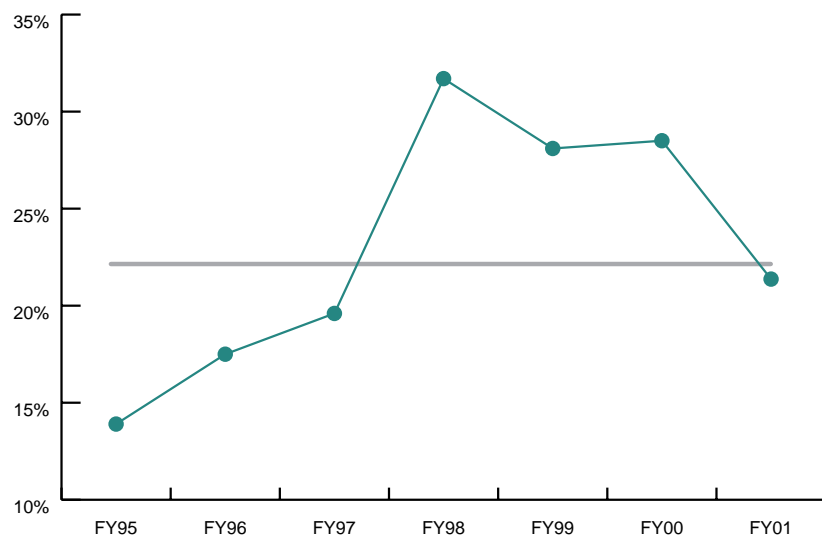
| | Where we are <i>current data</i> | Where we are going <i>2005 target</i> |
|--|-------------------------------------|--|
| Increase in the percent of staff that are satisfied with their job. (Based on a DOC-wide employee satisfaction survey.) ¹ | N/A | TBD |
| Increase the percent of diverse staff in DOC. | 59.6% | 61% |
| Increase the percent of employee performance evaluations (MDPP and EDPP) completed in a timely manner. ² | N/A | 100% |
| Decrease in the classified employee vacancy rate. | 21.4% | 19% |

¹ Survey is scheduled for Fiscal Year 2004.

² Currently establishing baseline.

CLASSIFIED EMPLOYEE TURNOVER Fiscal Years 1995 through 2001

The average turnover rate for classified employees over the last seven years has been 22.9 percent. ►



Note: Turnover rate includes in-agency movement as well as movement out of the agency.

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State of Washington
Department of Corrections

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